

1A. FEDERAL FISCAL YEAR  200_____		1B. REPORTING QUARTER (Check appropriate box)  <input type="checkbox"/> 1 <sup>st</sup> (Oct-Dec) <input type="checkbox"/> 2 <sup>nd</sup> (Jan-Mar) <input type="checkbox"/> 3 <sup>rd</sup> (Apr-Jun) <input type="checkbox"/> 4 <sup>th</sup> (Jul-Sep) <input type="checkbox"/> Annual	
2. FEDERAL FINANCIAL ASSISTANCE AGENCY (EPA Office Address)		3. REPORTING RECIPIENT (Name and Address)	
2A. REPORTING CONTACT	PHONE:	3A. REPORTING CONTACT	PHONE:
4A. FINANCIAL ASSISTANCE AGREEMENT ID NUMBER		4B. FEDERAL FINANCIAL ASSISTANCE PROGRAM	
5A. TOTAL GRANT AMOUNT  \$		5B. TOTAL CONTRACT/PROCUREMENT AMOUNT THIS QUARTER  \$	
		5C. RECIPIENT'S MBE/WBE GOALS  MBE                      %                      MBE                      %	
5D. ACTUAL MBE/WBE PROCUREMENT ACCOMPLISHED THIS REPORTING PERIOD  MBE \$    WBE \$		5E. NEGATIVE REPORT (Check)  <input type="checkbox"/> SEE INSTRUCTIONS	
6. COMMENTS:			
7. NAME OF AUTHORIZED REPRESENTATIVE		TITLE	
8. SIGNATURE OF AUTHORIZED REPRESENTATIVE		DATE	

## MBE/WBE PROCUREMENTS MADE DURING QUARTER

Procurement Made By		Business Enterprise		\$ Value of Procurement	Date of Award MM/DD/YY	Type of Product or Services <sup>1</sup> (Enter Code)	Name/Address of MBE/WBE Contractor or Vendor
Recipient	Other	Minority	Women				

<sup>1</sup>Type of product or service codes:

1 = Agriculture  
2 = Mining  
3 = Construction  
4 = Manufacturing

5 = Transportation  
6 = Wholesale Trade  
7 = Retail Trade  
8 = Finance, Insurance, Real Estate

9 = Services  
a = Business Services  
b = Professional Services  
c = Repair Services  
d = Personal Services

10 = Other

## INSTRUCTIONS

### MBE/WBE UTILIZATION UNDER FEDERAL GRANTS, COOPERATIVE AGREEMENTS, AND INTERAGENCY AGREEMENTS EPA FORM 5700-52A

#### A. General Instructions:

MBE/WBE utilization is based on Executive Orders 11625, 12432, P.L., 102-389 and EPA Regulation Part 30 and 31. EPA Form 5700-52A must be completed by recipients of federal grants, cooperative agreements, or other Federal financial assistance which involve procurement of supplies, equipment, construction or services to accomplish Federal assistance programs.

Recipients are required to report to EPA within one month following the end of each federal fiscal year quarter or annually as in the agreement.

#### B. Definitions:

*Procurement* is the acquisition through order, purchase, lease or barter of supplies, equipment, construction or services needed to accomplish Federal assistance programs.

A *contract* is a written agreement between an EPA recipient and another party (other than another public agency) and any lower tier agreement for equipment, services, supplies, or construction necessary to complete the project. Includes personal and professional services, agreements with consultants, and purchase orders.

A *minority business enterprise* (MBE) is a business concern that is (1) at least 51 percent owned by one or more minority individuals, or, in the case of a publicly owned business, at least 51 percent of the stock is owned by one or more minority individuals; and (2) whose daily business operations are managed and directed by one or more of the minority owners.

U.S. citizenship is required. Recipients shall presume that minority individuals include Black Americans, Hispanic Americans, Native Americans, Asian Pacific Americans, or other groups whose members are found to be disadvantaged by the Small Business Act or by the Secretary of Commerce under section 5 or Executive Order 11625. The reporting contact at EPA can provide additional information.

A *woman business enterprise* (WBE) is a business concern that is, (1) at least percent owned by one or more women, or, in the case of a publicly owned business, at

least 51 percent of the stock is owned by one or more women and (2) whose daily business operations are managed and directed by one or more of the women owners.

Business firms which are 51 percent owned by minorities or women, but are in fact managed and operated by non-minority individuals do not qualify for meeting MBE/WBE procurement goals.

The following affirmative steps for utilizing MBEs and WBEs are required to be documented:

1. Inclusion of MBEs/WBEs on solicitation lists.
2. Assure MBEs/WBEs are solicited once they are identified.
3. Where feasible, divide total requirements into smaller tasks to permit maximum MBE/WBE participation.
4. Where feasible, establish delivery schedules which will encourage MBE/WBE participation.
5. Encourage use of the services of the U.S. Department of Commerce's Minority Business Development Agency (MBDA) and the U.S. Small Business Administration to identify MBEs/WBEs.
6. Require that each party to subgrant, subagreement, or contract award take the affirmative steps outlined here.

#### C. Instructions for Part I:

1. Complete Federal fiscal year and check applicable reporting box quarterly or annually. (Federal fiscal year runs from October 1 through September 30).
2. "Will be provided by EPA".
3. Identify the agency, state authority, university or other organization which is the recipient of the Federal financial assistance and the person to contact concerning this report.

- 4a. Grant/cooperative agreement or Interagency Agreement number assigned by EPA. Refer back to grant document for this information.
- 4b. Refer back to grant document for this information.
- 5a. Total grant amount which includes Federal funds plus recipient matching funds and funds from other sources.
- 5b. Total contracts/procurements awarded this quarter. For example: Actual dollars for procurement from the procuring office; actual contracts let from the contracts office; actual goods, services, supplies, etc., from other sources including the central purchasing/procurement centers).
- 5c. Portion of the total procurement dollars recipient plans to spend with MBEs and WBEs this fiscal year. With the concurrence of EPA, a fair share goal shall be determined by each recipient.
- 5d. Dollar amounts awarded under this reporting period. (These amounts include the Federal, State and local shares in the procurement awards).
- 5e. Check only if no procurements were made this reporting period. (If dollar amounts are shown in 5d. Indicate reason in 6. Comments Section).
6. Additional comments or explanations. Please refer to specific item number(s), if appropriate.
7. Name and title of official administrator or designated reporting official.
8. Signature and month, day, year report submitted.

**D. Instructions for Part II:**

For each MBE/WBE procurement made under this assistance agreement during the reporting period, provide the following information:

1. Check whether this is a first tier procurement made directly by Federal financial assistance recipient or other second tier procurement made by recipient's subgrantee or prime contractor. Include all qualifying second tier purchases executed this quarter regardless of when the first tier procurement occurred.

2. Check MBE or WBE.
3. Dollar value of procurement.
4. Date of award, shown as month, day, year.
5. Using codes at the bottom of the form, identify type of product or service acquired through this procurement (e.g., enter 1 if agriculture, 2 if mining, etc.).
6. Name and address of MBE/WBE firm. This data is requested to comply with provisions mandated by: statute or regulations (40 CFR Part 30 and 31); OMB Circulars; or added by EPA to ensure sound and effective assistance management. Accurate, complete data are required to obtain funding, while not pledge of confidentiality is provided.

The public reporting and recording burden for this collection of information is estimated to average 1 hour effort, or financial resources expended by persons to generate, maintain, retain, or disclosure or provide information to or for a federal agency. This includes the time needed to review instructions, develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data resources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, collection of information unless it displays a currently valid OMB control number.

Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, OPPE Regulatory Information Division, U.S. Environmental Protection Agency (2136), 401 M Street, S.W., Washington, D.C. 20460. Include the OMB Control number in any correspondence. Do not send the completed form to this address.